

FORM PTO-1390 (Modified)  
(REV 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

**112843-006**

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR  
**09/674,738**

INTERNATIONAL APPLICATION NO.  
**PCT/EP98/04406**

INTERNATIONAL FILING DATE  
**July 15, 1998**

PRIORITY DATE CLAIMED

TITLE OF INVENTION

**USE OF BROMELAIN PROTEASES FOR INHIBITING BLOOD COAGULATION**

APPLICANT(S) FOR DO/EO/US

**Maurer et al.**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A copy of the International Search Report (PCT/ISA/210).

**Items 13 to 20 below concern document(s) or information included:**

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☒ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
20. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
22. ☒ Certificate of Mailing by Express Mail
23. ☒ Other items or information:

**Response to Notification of Defective Response  
Copy of Notification of Response**

U.S. APPLICATION NO. (IF KNOWN) 37,CFR <b>09/674,738</b>	INTERNATIONAL APPLICATION NO. <b>PCT/EP98/04406</b>	ATTORNEY'S DOCKET NUMBER <b>112843-006</b>
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24. The following fees are submitted:.

**BASIC NATIONAL FEE ( 37 CFR 1.492 (a) (1) - (5)) :**

☐ Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... **\$1040.00**

☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... **\$890.00**

☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... **\$740.00**

☐ International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... **\$710.00**

☐ International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... **\$100.00**

**CALCULATIONS PTO USE ONLY**

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

	<b>\$0.00</b>	
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Surcharge of **\$130.00** for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).

	<b>\$0.00</b>	
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CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	- 20 =	0	x \$18.00	<b>\$0.00</b>	
Independent claims	- 3 =	0	x \$84.00	<b>\$0.00</b>	
Multiple Dependent Claims (check if applicable). <input type="checkbox"/>				<b>\$0.00</b>	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$0.00</b>	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27). The fees indicated above are reduced by 1/2.				<b>\$0.00</b>	
<b>SUBTOTAL =</b>				<b>\$0.00</b>	

Processing fee of **\$130.00** for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).

	<b>\$0.00</b>	
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**TOTAL NATIONAL FEE =**

	<b>\$0.00</b>	
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Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). ☐

	<b>\$0.00</b>	
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**TOTAL FEES ENCLOSED =**

	<b>\$0.00</b>	
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	<b>Amount to be: refunded</b>	\$
	<b>charged</b>	\$

a. ☐ A check in the amount of \_\_\_\_\_ to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. **02-1818** A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

**SEND ALL CORRESPONDENCE TO:**

**Robert M. Barrett (Reg. No. 30,142)**  
**Bell, Boyd & Lloyd LLC**  
**P.O. Box 1135**  
**Chicago, Illinois 60690**  
**Tel: (312) 807-4204**

SIGNATURE

**Robert M. Barrett**

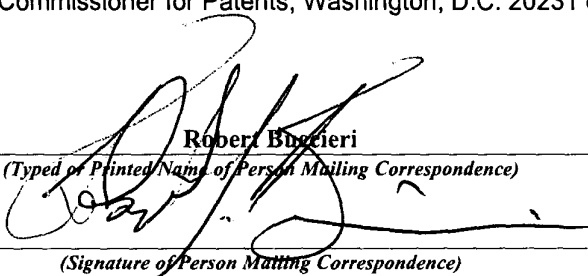
NAME

**30,142**

REGISTRATION NUMBER

**November 16, 2001**

DATE

<b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b>			Docket No. 112843-006
Applicant(s): Maurer et al.			
Serial No. 09/674,738	Filing Date October 31, 2000	Examiner	Group Art Unit
Invention: <b>USE OF BROMELAIN PROTEASES FOR INHIBITING BLOOD COAGULATION</b>			
<p>I hereby certify that the following correspondence:</p> <div style="border: 1px solid black; padding: 5px; margin: 10px 0;"><p><b>Transmittal letter to the U.S. DO/EO/US in duplicate, Copy of Notification of Defective Response, Computer Disk, Response to Notification of Defective Response, and Postcard.</b></p></div> <p style="text-align: center;"><i>(Identify type of correspondence)</i></p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on</p> <p><u>November 16, 2001</u> <i>(Date)</i></p> <div style="text-align: center; margin-top: 20px;"><p><b>Robert Buzieri</b> <i>(Typed or Printed Name of Person Mailing Correspondence)</i></p><p> <i>(Signature of Person Mailing Correspondence)</i></p><p><b>EL647240950US</b> <i>("Express Mail" Mailing Label Number)</i></p></div>			

Note: Each paper must have its own certificate of mailing.

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANT:	Maurer et al.	DOCKET NO.:	112843-006
SERIAL NO:	09/674,738	ART UNIT:	Unknown
FILED:	October 31, 2000	EXAMINER:	Unknown
INVENTION:	"USE OF BROMELAIN PROTEASES FOR INHIBITING BLOOD COAGULATION"		

**RESPONSE TO NOTIFICATION OF DEFECTIVE RESPONSE**

Sir:


This Response is submitted in response to the Notification of Defective Response ("Notice") mailed on October 19, 2001. In the Notice, the Patent Office alleges that the response to the Notice of Missing Parts mailed on May 21, 2001 was not complete. More specifically, the Patent Office alleges that a copy of the Sequence Listing in computer readable form has not been filed in response to the Notice of Missing Parts.

In response, Applicants respectfully submit herewith a copy of the sequence listing in computer readable form. Applicants state that the information recorded in computer readable form is identical to the written sequence listing that was previously filed.

Applicants note for the record that the sequence listing was sent via EFS on August 21, 2001. Further, Applicants have received an EFS filing receipt from the Patent Office acknowledging that the Patent Office received the sequence listing via EFS. Therefore, Applicants believe that they have timely and fully responded to the Notice of Missing Parts and are, thus, responsive to this Notice.

Accordingly, Applicants respectfully request an early and favorable examination of the present application.

Respectfully submitted,

 (Reg. No. 30,142)

Robert M. Barrett  
BELL, BOYD & LLOYD LLC  
P.O. Box 1135  
Chicago, Illinois 60690-1135  
Tel: (312) 807-4204  
ATTORNEY FOR APPLICANT

☒ Commissioner For Patents, Box PCT, United States Patent and Trademark Office, Washington, D.C. 20231, www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/674,738	Rainer Maurer	112843-006

INTERNATIONAL APPLICATION NO.
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PCT/EP98/04406
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IA. FILING DATE
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PRIORITY DATE
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07/15/1998
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Robert M Barrett  
Bell Boyd & Lloyd  
P O Box 1135  
Chicago, IL 60690-1135

CONFIRMATION NO. 5329

371 FORMALITIES LETTER



\*OC00000006921679\*

Date Mailed: 10/19/2001

DUE: 11-19-01

**NOTIFICATION OF DEFECTIVE RESPONSE**

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fee
- Biochemical Sequence Listing
- Copy of IPE Report
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- English Translation of the IA
- Information Disclosure Statements
- Oath or Declaration
- Preliminary Amendments
- Request for Immediate Examination

RECEIVED  
BELL, BOYD & LLOYD  
INTELLECTUAL PROPERTY DOCKET

OCT 31 2001 Tk

ATTY: RMBDOCKET #: 112843-006

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):
  - A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e).
  - APPLICANT MUST PROVIDE:
    - An initial or substitute computer readable form (CRF) of the "Sequence Listing."
- For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:
  - For Rules Interpretation, call (703) 308-4216
  - To Purchase PatentIn Software, call (703) 306-2600
  - For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

Applicant is required to complete the response within a time limit of ONE MONTH from the date of this Notification or within the time remaining in the response set forth in the Notification of Missing Requirements, whichever is the longer. No extension of this time limit may be granted under 37 CFR 1.136, but the period for response set in the Notification of Missing Requirements may be extended up to a maximum of six months.

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

KAREN M WILLIAMS

Telephone: (703) 305-3688

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
09/674,738	PCT/EP98/04406	112843-006